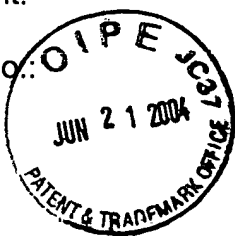


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT TRANSMITTAL FORM

IFW

Applicant: Zhang  
Serial No.: 10/791,320  
Filed: March 2, 2004  
For: ASYMMETRIC CATALYSIS BASED ON CHIRAL  
PHOSPHOLANES AND HYDROXYL PHOSPHOLANES  
Art Unit: 1626  
Examiner: Not Yet Assigned  
Customer No.: 27623 Attorney Docket No.: 823.0090USQX



Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

We are enclosing:

1. Information Disclosure Statement;
2. PTO Form 1449;
3. Transmittal letter in duplicate; and
4. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Date: June 18, 2004

Paul D. Greeley  
Reg. No. 31,019  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10<sup>th</sup> Floor  
Stamford, Connecticut 06901-2682  
(203) 327-4500

**CERTIFICATE OF MAILING**

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, , ON June 18, 2004.

Leslie Moscatello  
NAME

SIGNATURE

6/18/04  
DATE



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### **INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application, filed concurrently herewith. This Information Disclosure Statement is being filed:

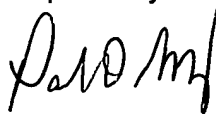
- ☐ Within three (3) months of the filing date of the national application;
- ☐ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
- ☒ Before the mailing date of a first Office Action on the merits;
- ☐ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

- \_\_\_\_\_ After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);
- \_\_\_\_\_ After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p); and
- \_\_\_\_\_ After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to or subsequent to the payment of the Issue Fee and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p).
- \_\_\_\_\_ Filing with RCE Under 37 CFR 1.114.

The following references were either (1) cited by or (2) submitted to the Patent and Trademark Office in priority application Serial No. 09/377,065, filed August 19, 1999, which issued as U.S. Patent No. 6,337,406 on January 8, 2002 and priority application Serial No. 09/992,551, filed November 6, 2001, which issued as U.S. Patent No. 6,727,377 on April 27, 2004. Accordingly, copies of the following references have not been submitted herewith. (37 C.F.R. §1.98(d)).

It should be understood that attention has been called to the references that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



June 18, 2004

Paul D. Greeley  
Reg. No. 31,019  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10th Floor  
Stamford, CT 06901-2682  
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CUSTOMER NO.: 27623

Sheet 1 of 2

FORM PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number (Optional)

823.0090USQX

Application Number

10/791,320

Applicant

Zhang

Filing Date

March 2, 2004

Group Art Unit

1626

## U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,202,493	04/1993	Burk			
	5,329,015	07/1994	Burk			
	6,043,396	03/2000	Sturmer, et al.			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	EP 0889048	01/1999	Europe				
	WO 91/17998	11/1991	PCT				
	WO 92/19630	11/1992	PCT				

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

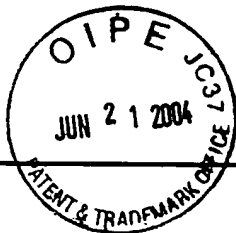
DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

\* Did not receive any FOR or NPL.

CUSTOMER NO.: 27623

Sheet 2 of 2



FORM PTO-1449  INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)	Docket Number (Optional)	Application Number
	823.0090USQX	10/791,320
	Applicant	
	Zhang	
	Filing Date	Group Art Unit
	March 2, 2004	1626

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	EP 0501586	09/1992	Europe				

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

	Holz, J., et al., Synthesis of a New Class of Functionalized Chiral Bisphospholane Ligands, J. Org. Chem. Vol. 63, p. 8031, 1998.
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	Article entitled "Enantioselective Catalysis, 101, Synthesis and Coordination Properties of ("S,4')-(+)-1,2,-Bis(3',4' -dimethoxy-phospholano) benzene, a New Chiral Diphosphane" by Z. Naturforsch, 1996, pp. 1210-1213.

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